

# **PMB Policies and Procedures**

## ***Document Management Plan***



**Montana Department of Public Health and Human Services**

**Technology Services Division**

**July 31, 2008**



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## **1.0 INTRODUCTION**

### **1.1 Purpose**

This document outlines the Document Management Plan for the Project Management Bureau (PMB). The purpose of document management is to manage repositories of documents and historical information for large user groups or for specific projects, and to ensure a consistent style and approach to creation, update and format of documents.

The PMB will review this document at least annually and update it as needed, as part of the Bureau's continuous process improvement efforts. Project teams will capture lessons learned from their document management efforts at the end of each project phase and use these lessons to improve the bureau-level standards.

### **1.2 Scope**

The purpose of the Document Management Plan is to:

- Define roles and responsibilities related to document management
- Define the infrastructure used by a project to accomplish document management
- Define the standards for document preparation and review
- Define the methods for document change control and version control
- Define the approach to document storage, backup and retention

For the purposes of this plan a “document” is any electronic or hardcopy media designed to convey information about or on behalf of a project, program, or system including but not limited to memos, letters, spreadsheets, reports, presentations, organizational charts, electronic mail, pictures, specifications, drawings, project binders, and books

### **1.3 References**

All applicable state/department/division regulations for retention, creation, and maintenance of documents will go here.

### **1.4 Acronyms**

The following table lists the acronyms used in this document.

**Table 1-1. List of Acronyms**

<b>Acronym</b>	<b>Description</b>
ATOC	Annotated Table Of Contents



**Table 1-1. List of Acronyms**

<b>Acronym</b>	<b>Description</b>
BA	Business Analyst
CAPS	Child and Adult Protective Services
CSS	Computer Support Specialist
DAR	Deliverables Acceptance Request
DIR	Decision Information Request
DPHHS	Department of Public Health and Human Services
FS	Food Stamps
IRR	Issue Resolution Request
MS	Micro Soft
PCR	Project Change Request
PM	Project Manager
PMB	Project Management Bureau
RCR	Requirements Change Request
RFI	Request For Information
RFP	Request For Proposals
SAM	System Administration and Maintenance
SDU	System Development Unit
SOW	Statement Of Work
SP	SharePoint
TANF	Temporary Assistance for Needy Families
TSD	Technology Services Division

## **2.0 ROLES AND RESPONSIBILITIES**

### **2.1 General**

All members of the project team, both internal and external, are involved in managing project documents. In some cases, one individual may perform multiple roles in the process.

When staff join the PMB, their supervisors will train them on the staff's documentation responsibilities. Bureau meetings will be used to brief staff on any changes to the process. The PMB uses Microsoft (MS) SharePoint as the standard tool for document management. All project staff members, including state employees and on-site consultants, are responsible for creating and storing documents in the SharePoint system, and for completing the identifying information for each document.



## **2.2 Project Manager**

The Project Manager (PM) has overall responsibility to ensure that all required project documentation is complete and properly stored. The PM will review document files for adherence to PMB conventions and keep files up to date. The PM will monitor the review and approval cycle to ensure the appropriate individuals review and approve documents in a timely manner to meet project deadlines. The PM is responsible for publishing signed documents to the Approved Document library on the project team site.

## **2.3 Business Analyst**

The Business Analyst (BA) has the primary responsibility for managing and controlling the project hardcopy and SharePoint library content. The BA performs periodic reviews of the SharePoint libraries to monitor document naming conventions and version control. At least once a year, the BA performs an audit of the hardcopy library to ensure all contents are correctly filed and present. The BA also performs a partial audit of the SharePoint libraries to verify naming conventions, profile completeness, version control, and security/access control. Any discrepancies or concerns are documented in the project's issue tracking or risk tracking system and assigned for correction.

## **2.4 Computer Support Specialist**

For each assigned system, the Computer Support Specialist (CSS) will perform the same duties as the Business Analyst. This includes receiving and tracking vendor deliverables, ensuring that system documents follow PMB naming convention, version control is in use where required and documents are stored in the appropriate project library. The CSS is also responsible for the system records retention policies, periodic document reviews, and archiving hardcopy documents, as appropriate.

## **2.5 SharePoint Site Administrator**

The SharePoint site administrator is responsible for granting user access, creating team sites, updating site structures, and ensuring documents comply with PMB criteria for storage, naming, and review.

## **3.0 DOCUMENT TYPES**

The following table lists the various documents created, received, and used by the PMB.

**Table 3-1. Types of Project Documents**

Type	Description
Administrative	Documents pertaining to the administrative operations of the project,



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**Table 3-1. Types of Project Documents**

<b>Type</b>	<b>Description</b>
Documentation	including documents for funding, personnel, staffing, equipment licenses and warranties, etc.
Control Documents	Decision/Information Request (DIR), Deliverable Acceptance Request (DAR), Requirements Change Request (RCR), Project Change Request (PCR)
Contract Management Documentation	Documents associated with the solicitation, administration, and management of the contractors supporting the project. Including, but not limited to, Information Technology Purchase Request (ITPR), Request for Information (RFI), Request for Proposal (RFP), Statement of Work (SOW), and invoices.
Correspondence and Communications	Documents sent to or received from any organization external to the project, including the sponsor, control agencies, federal stakeholders, counties, advocates, and the public
E-mail	Only critical e-mail is retained, such as important information received from contractors or other outside sources. Project staff should not use email for formal communication or decision-making on the project. Critical e-mail is saved and imported into SharePoint. Non-critical e-mail is purged at the user's discretion.
Plans and Planning	Documents describing the planning and execution of all phases of a project.
Presentations	Documents used in training or briefing project staff, county staff or stakeholders
Reference Materials	Documents generated by an external organization that provide insight, guidance, or examples of pertinent information such as legislation, policy, regulations, handbooks, standards, etc.
Status Documentation	Documents describing the status of planned and actual activities for the project, including funding, contract, schedule, issue and risk status, and meeting minutes describing decisions, action items, and concerns. Includes the final project report at the conclusion of the closeout phase.
Working Papers	Early drafts, notes, or reference materials used to create another document. Working papers may or may not be retained, at the author's discretion. Working papers are generally not stored beyond the local hard drive.



## **4.0 DOCUMENTATION STANDARDS**

### **4.1 Templates and Standard Format**

Standard working copies of PMB templates are stored in the document library on the PMB SharePoint site at: PMB/Shared Documents/PMB\_TOOLS/Templates. General PMB document formatting standards are also available on the PMB SharePoint site at: PMB/Shared Documents/PMB\_ADMIN/Policies and Procedures/PMB\_Document\_Formatting\_Standards.

### **4.2 Document Naming Conventions**

The following are the document naming convention rules for the PMB.

- Names must be unique
- All general and administrative bureau documents will contain PMB in the title followed by an underscore “\_” (e.g., PMB\_Project Tools)
- All project documents will contain the name of the project in the title followed by an underscore “\_” (e.g., SACWIS\_Risk Management Matrix)
- If the project is a multi-phase project, all related project documents for the phase will contain the name of the project, a “P” for phase, and the phase number followed by an underscore “\_” (e.g., BSRxP2\_DIR001).
- All status reports must include the project, year, day, and month (e.g., TANF\_Developer Status\_2008\_02\_15).
- Correspondence will indicate the project and primary recipient’s organization (e.g., FS\_Funding request to FNS.)
- Documents that are periodically updated will include the project and the official version number in the title (e.g., SACWIS\_Implementation Plan\_v1\_0)
- Documents pertaining to a county/local office will indicate the project and the name of the county in the title. (e.g., FS\_Granite County test plan)
- Acronyms and abbreviations used in titles will conform to the Acronym List.

### **4.3 Other Conventions**

The following are additional conventions that the PMB adheres to when creating documents. The project’s templates (mentioned above) automatically include the items listed below.

- Documents that will be used on an ongoing basis and may be subject to periodic review, such as reports and plans, must include a Revision History section that lists all the versions of the document, the date of release, and a summary of the changes made in each version.
- Documents with more than 10 pages must include a table of contents.
- Formal plans must include a signature page and must be Approved and Published.
- Sensitive or confidential documents must include marking on the front page and header/footer to indicate “sensitive” or “confidential,” preferably in red, bold font.





- A Bureau acronym list includes standard acronyms and abbreviations for projects. Any acronyms or abbreviations used will conform to this standard list, particularly if the acronym or abbreviation is used in the title or description of a document.
- All pictures and graphics must be in .gif format.

## **4.4 Development and Development Tools**

PMB uses the following standard tools to develop documents, spreadsheets, e-mail, presentations, etc.

**Table 4-1. Documentation and Development Tools**

<b>Document Type</b>	<b>Development Tool</b>	<b>Storage Tool/Location</b>
Document	MS Word 2003	SharePoint
Spreadsheet	MS Excel 2003	SharePoint
Presentation	MS PowerPoint 2003	SharePoint
E-mail	MS Outlook 2003	MS Outlook, Email Server
Diagrams	MS Visio 2003	SharePoint

## **5.0 DOCUMENT CONTROL**

### **5.1 Document Version Control**

The PMB will maintain document version control based on the following criteria. These levels are considered the minimum level of control that must be applied; higher levels of version control may be used, as appropriate. All SharePoint project sites will have document versioning turned on and in use. The check in/out feature will be used on all documents.

**Table 5-1. Levels of Version Control**

<b>Level</b>	<b>Criteria</b>
Level 1	<ul style="list-style-type: none"><li>• Working Papers</li><li>• Internal to project only</li><li>• Generally stored on local drive</li></ul>
Level 2	<ul style="list-style-type: none"><li>• Versioning in use where required</li><li>• Available to project staff, other staff, sponsor staff, and limited stakeholders</li><li>• Intended for internal use and review.</li></ul>



**Table 5-1. Levels of Version Control**

Level	Criteria
Level 3	<ul style="list-style-type: none"><li>• Versioning in use</li><li>• Signed or approved versions of control and project documents.</li><li>• Intended for use or review beyond the project</li><li>• Available to any organization, upon request</li></ul>

### **5.1.1 Level-1 Control**

Level 1 documents are normally not versioned and do not require collaboration outside of the project. They may be project-specific papers, working papers, or early drafts of documents. These documents are generally maintained on the local hard drive. Specific examples include:

- Draft project information
- Preliminary ideas not ready for distribution or review.
- Project Email files

### **5.1.2 Level-2 Control**

Level 2 documents may be versioned, and may be distributed among project staff or other selected reviewers. These documents will reside in the working document library until they attain final approval. Examples include:

- Project processes or desk procedures
- Draft documents in review
- Project-specific status reports or meeting minutes
- Project training materials

### **5.1.3 Level-3 Control**

Level 3 documents are documents that have undergone formal review and approval. Any changes to these documents must be reviewed and approved according to the process described in section 5.5. These documents will be stored in the Approved Documents Library. Examples of Level 3 documents include:

- Project Charter
- Master Project Plan and supporting plans
- Consultant Contracts and Statements of Work
- Contractor Deliverables



## **5.2 Internal Quality Review Process**

Most Level 2 and all Level 3 documents are subjected to an internal quality review prior to being sent outside the project for review. The process begins with an internal review from another project member. The reviewer should be a team member who has knowledge of the status of the project. The reviewer checks the content and conclusions, and performs a basic quality check including format, spell checking, and grammar checking.

Minor changes are made directly to the document. Questions or concerns are noted using MS Word's Track Changes and/or Comment functions, or are discussed directly with the author. If major changes are made, a new version may be created in SharePoint to reflect the before and after state. Changes are accepted and comment flags are removed prior to sending the document out for approval.

## **5.3 Review and Approval Process**

Reviews are conducted on all Level 3 and some Level 2 documents prior to their being published. In addition, the project plans and charter are reviewed at least annually using the processes below to ensure they are correct and reflect the current goals and direction of the organization.

The project staff, project sponsor staff, and other stakeholders will review level 3 documents, as appropriate. Before its official release, the Project Manager or another individual with document approval authority must approve the document.

Reviewers provide comments back to the author, generally via e-mail or by entering changes directly into the document. For changes to versioned documents, MS Word's Track Changes feature will be used with the changes left visible to help identify the before and after state. If no comments are received by the due date, the author may finalize the document. To finalize a document the author sets the status to final, and approves the document. The author may then publish the document and distribute the final approved version of the document to the appropriate stakeholders as required.

## **5.4 Approved Document Process**

Formal documents that require signature(s) follow the above processes for review and approval. After approval is conferred, the appropriate manager(s) signs the approval section of the document. All documents subject to approval must include a signature page.

After signatures are obtained, the signature page is scanned and included in a PDF version of the approved document. The approved document and the PDF version will have permissions set to "READ ONLY" for all personnel with the exception of the project site owner. A hardcopy



version with the signature page is placed in the appropriate binder in the project library, and included in the binder's index.

The document may then be distributed to any additional stakeholders such as team members, sponsor representatives, or county representatives. Distribution generally is performed via e-mail. Formal reports or correspondence may be distributed in hardcopy via standard mail service.

Any proposed changes to an approved document must be re-reviewed through the processes, as described in section 5.5.

## **5.5 Updating Approved Documents**

A new document version will be created to reflect a major change or update to an approved document. A copy of the document will be used to create the new version and assigned an appropriate title for draft and review.

Note that the version number in SharePoint is not necessarily the same number as the revision number in the document's revision record. This is because the draft document may entail several changes of approach or incorporation of comments prior to its release.

## **5.6 Document Storage**

### **5.6.1 Local Hard Drive**

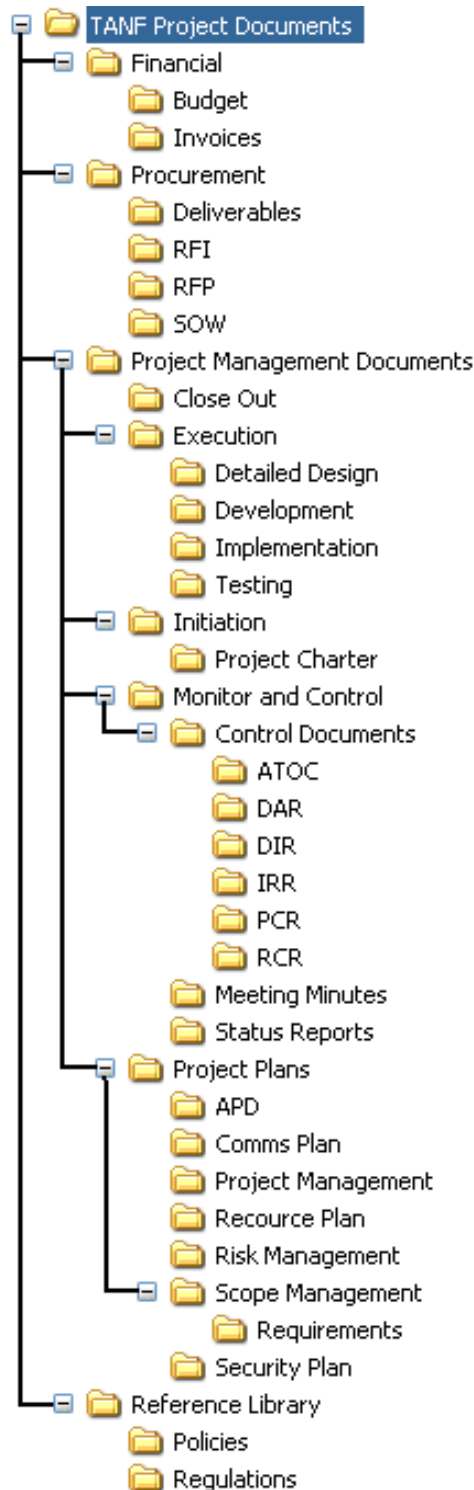
Each user has access to a local hard drive to assist with storage of working papers and personal reference materials. Project documents and appropriate emails will be copied to the project team site on the SharePoint directory.

### **5.6.2 SharePoint Document Libraries**

Each project work site contains a project document library (**Figure 5-1**). Additional libraries may be added with the approval of the PMB SharePoint administrator.



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**Figure 5-1. Project Folder Organization Structure**



## **6.0 DOCUMENT RETENTION AND PURGING**

### **6.1 File Backups**

Backup of SharePoint files will be conducted by the TSD Network & Communications bureau on a regular schedule. All project personnel will insure that critical project information is copied to the SharePoint site and available for backup.

### **6.2 Retention and Archiving**

**Table 6-1. Document Retention**

<b>Type</b>	<b>Retention Period (measured from project closure date)</b>	<b>Disposition</b>
Administrative Documentation	3 years	Destroy when no longer required
Control Documents	3 Years	Destroy when no longer required
Contract Management Documentation	3 years	Destroy when no longer required
Correspondence and Communications	3 years	Destroy when no longer required
E-mail	3 years	Destroy when no longer required
Plans and Planning	3 years	Destroy when no longer required
Presentations	none	Destroy when no longer required
Reference Materials	None	Destroy when no longer required
Status Documentation	4 years	Offer to Archives Final Project Report to be saved permanently.
Working Papers	Varies (based on historical value)	Transfer to Archives
Invoices	3 years	Destroy
Contracts	8 years	Save permanently

### **6.3 Purging**

This section addresses the conclusion of a project and the transfer to the O&M unit for continued system maintenance. It should also address the elimination of systems that have been replaced by new builds. In each case, there should be a document purge table and guidelines for transferring documentation to the SAM unit for new systems and to the archives for old systems.



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The retention table above gives direction for saving documents past the conclusion of a project and the end of a system.

## 7.0 CHANGE RECORD

**Table 7-1. Revision History**

<b>Date</b>	<b>Version</b>	<b>Name</b>	<b>Comments</b>
April 25, 2008	0.1	Bob Finstad	Initial draft
June 9, 2008	0.2	Staci Stolp	Applied PMB standard template, made minor grammatical updates, modified document-naming conventions, referenced document formatting standards.
June 30, 2008	0.3	Staci Stolp	Updated the header and footer.
July 31, 2008	0.4	Staci Stolp	Added Appendix # to header

## 8.0 DOCUMENT APPROVAL

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Chief, Project Management Bureau

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Date